

DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
INVESTMENT MANAGEMENT SECTION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

INVESTMENT MANAGEMENT SECTION

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

The Department of State Treasurer and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of State Treasurer agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the General Schedule for State Agency Records are not authorized to be destroyed. The

INVESTMENT MANAGEMENT SECTION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.


APPROVAL RECOMMENDED



Sandra Johnson, Chief Records Officer
Department of State Treasurer



Bryan Lewis, Interim Chief Investment Officer
Department of State Treasurer



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Janet Cowell, State Treasurer
Department of State Treasurer



Linda A. Carlisle, Secretary
Division of Historical Resources

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
INVESTMENT MANAGEMENT SECTION**

ITEM 16222. TRANSACTION AND ANALYSIS SHEET FILE.

Forms listing actual or proposed benefits to the trading of various funds.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16224. DIVISION CORRESPONDENCE FILE.

Correspondence concerning section and topics of interest to the Investment Management Section. File includes reference copies of budget and staff travel information as well as activity reports.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 16225. PRIVATE PLACEMENT FILE.

Descriptions and terms of security bonds purchase agreements.

DISPOSITION INSTRUCTIONS: Function and records transferred to Investment Management Division, Fixed Income Section, LTIF.

ITEM 31255. EQUITY FILE.

Statements of equity investment policies and objectives. File includes information regarding the selection process of advisor, committee's travel records, correspondence, quarterly performance measurements by staff, and investment positions.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Investment Management Division, Public Equities Section, Due Diligence File (Item 48196) and Performance Review File (Item 37334).

ITEM 37335. PROXY VOTING FILE.

Companies' annual reports and proxy votes which are entered into Proxy Voting (Electronic) File (Item 37336).

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 37336. PROXY VOTING (ELECTRONIC) FILE.

Machine readable records documenting annual proxy votes made by the State Treasurer on stock owned by the State Treasurer of North Carolina on behalf of the various retirement systems.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.